

Performance Management, Incentive Awards, and Training and Development

Technician Incentive Awards Program

Summary of Changes. This regulation provides guidance regarding the Incentive Awards Program for military technicians. This regulation supersedes the TPM, Annex E, dated March 2000.

Applicability. California National Guard Fulltime Personnel Regulation (CNGFPR) applies to all California Army and California Air National Guard technicians and to commanders, managers and supervisors (military or civilian) with authority or responsibility over technician personnel management.

Proponent and Exception Authority. The proponent of this handbook is the Joint Force Headquarters, J-1, Directorate for Human Resources. The proponent has authority to approve exceptions to this regulation when they are consistent with controlling laws and regulation.

Supplementation. Supplementation of this regulation is prohibited.

Suggested Improvements. Users of this regulation are invited to send comments and suggested improvements to Joint Force Headquarters, Directorate for Human Resources, 9800 Goethe Road, Sacramento, CA 95826-9101.

Distribution. Distribution of the regulation is Army - A and Air Force - F.

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1. Purpose.

The Incentive Awards Program is designed to motivate technicians and active military members of the National Guard to increase productivity and creativity and to achieve greater efficiency, economy, and improvement of operations. It provides a method for rewarding those whose job performance and ideas are substantially above normal job requirements and performance standards, and provides for consideration of performance contributions

throughout the National Guard and the Federal Government. The Incentive Awards Program is endorsed and vigorously supported by all levels of management, and will be administered entirely on the basis of merit without regard to age, sex race, color, religion, national origin, marital status, or physical or mental handicap.

2. Program Responsibilities.

- a. The Adjutant General is responsible for:
 - (1) Assuring compliance with program requirements.
 - (2) Promoting and supporting the Incentive Awards Program.
 - (3) Maintaining an adequate budget to assure prompt action on awards and effective promotion and publicity.
- b. The Directorate for Human Resources is delegated responsibility for:
 - (1) Administering and publicizing the Incentive Awards Program.
 - (2) Providing advice, assistance, and training to supervisors on effective use and participation in the program.
 - (3) Providing training and orientation to all technicians and military members on how they may earn awards.
 - (4) Preparing required reports.
 - (5) Providing documentation to Defense Accounting and Finance Center (DFAS) Denver, Colorado for payment of cash awards and insuring appropriate publicity.
 - (6) Assist the State Adjutant General in the establishment of the State Incentive Awards Program.
 - (7) Ensure that technicians are kept informed regarding their participation in the Incentive Awards Program.
 - (8) Determine requirements for technical evaluations of suggestions and ensure evaluation within prescribed time limits.
 - (9) Refer those suggestions that appear to be inventions for patent investigations.
 - (10) Ensure that all suggestions and nominations meet eligibility requirements.
 - (11) Ensure an exchange of information throughout the National Guard and other Federal agencies when adopted suggestions may have wider application.
 - (12) Obtain necessary coordination on nominations for cash awards.
 - (13) Evaluate the total Incentive Awards Program and develop feedback to management, technicians, and active military members.
 - (14) Processing incentive award actions on DCPDS and through DFAS.
- c. Supervisors are responsible for:
 - (1) Providing support for and participating in the Incentive Awards Program.
 - (2) Exercising care in considering award recognition. Although there should be a linkage between the Technician Performance Appraisal Report, this does not mean awards will be automatic.
 - (3) Determining what type of recognition will best motivate the technician to greater productivity, by matching recognition to performance; e.g., granting a within-grade increase; selecting for promotion; giving cash awards for special acts; recommending a Sustained Superior Performance and time-off awards, Quality Step Increases; or granting honorary awards, commendations, or letters of appreciation.
 - (4) Ensuring that awards for special acts or services are recognized immediately, and that all award presentations are conducted in a timely manner.
- d. Commanders, Directorate Staff and Supervisors. Responsibilities may include the following:
 - (1) Consider a supervisor's effective use of the awards program to be a consideration in granting them performance awards, letters of commendation, or other appropriate recognition.
 - (2) Review program results to assure that all awards are granted equitably, and on the basis of merit.
 - (3) Ensure that all awards presentations are conducted in a timely manner.

3. Quality Step Increase (QSI).

- a. General: A Quality Salary Increase is appropriate recognition of service that significantly exceeds high quality job performance by General Schedule (GS) technicians.
- b. Eligibility:
 - (1) The minimum period of high quality performance for this award is six (6) months in the same job and grade level. To be eligible for a QSI, the technician's overall performance must have been rated "fully successful" on the employee's most recent CAL NG 430.
 - (2) By statute, Federal Wage System (FWS) (WG, WL, WS) technicians are not authorized QSIs.
 - (3) Technicians may receive a maximum of one QSI every 52 weeks.

c. Award Processing: The technician's immediate supervisor is responsible for initiating the nomination using a Standard Form 52. The SF-52 must contain justification that warrants a QSI in Part D - Remarks, or by separate memorandum. The Directorate of Human Resources must have a current (no older than 364 days) "fully successful" CAL NG 430 on file. The current CAL NG 430 may be attached to the SF-52 upon delivery to HRO.

d. Effective Date: The effective date of an approved QSI is at the beginning of the next regular pay period following final approval

4. Sustained Superior Performance Award (SSP).

a. General: The Sustained Superior Performance Award is a monetary award in recognition of significant superior performance of duties and responsibilities that clearly exceed a technician's assigned position requirements.

b. Eligibility: The sustained superior performance on which the award is based must have been maintained for at least six (6) months and in the same job and grade level, unless the technician was demoted during the period for reasons other than cause. Award eligibility will not be affected by position changes occurring after the period covered by the recommendation. To be eligible, the technician's overall performance must have been rated "fully successful" on the employee's most recent Technician Performance Appraisal Report (CAL NG 430).

c. Award Processing: A supervisor, having a direct knowledge of the significant superior performance, may submit a SF-52 to HRO. Written justification for the award specifying superior performance of duties and responsibilities that clearly exceed the technician's assigned position requirements must be included in the remarks section of the SF-52, the Summary Rating section of the current CAL NG 430, or on separate memorandum. The Directorate of Human Resources must have a current (within 364 days) "fully successful" CAL NG 430 on file. The current CAL NG 430 may be attached to the SF-52 upon delivery to HRO.

d. Award Range:

(1) Technicians may be awarded one to ten percent (1 - 10%) of their base salary (does not include locality pay), not to exceed \$10,000.

(2) A Commander or Director may nominate an award of eleven to fifteen percent (11-15%) (or equaling an amount greater than \$10,000) of a technicians base salary when such an award is warranted. The Directorate of Human Resources will forward these nominations to the Adjutant General for disposition.

e. Effective Date: Approved Sustained Superior Performance Awards are effective the beginning of the next regular pay period following final approval.

d. Limitations: In no case may a Sustained Superior Performance Award be recommended in conjunction with a Special Act or Service Award for the same act, achievement, event, or service.

5. Special Act or Service Award.

a. General: A Special Act or Service Award can be awarded to technicians in recognition of a singular act of heroism, or similar one-time special act, service, or scientific achievement that contributes to the efficiency, economy, or other improvement of Government operations or is otherwise in the public interest. The act, service, or scientific achievement may or may not involve measurable monetary benefits and may be awarded to an individual or group of individuals.

b. Award Processing: A supervisor, having a direct knowledge of the special act or service, may submit a Standard Form 52 (SF-52), Request for Personnel Action to the Directorate for Human Resources (HRO) for processing. Written justification for the award specifying the act or service being recognized must be included in the remarks section of the SF-52 or on separate memorandum.

c. Award Range:

(1) Minimum cash award is \$25. Maximum cash award is \$10,000.

(2) If the Commander or Director feels that a technician performed his/her duties in a highly outstanding manner and made such significant tangible and/or intangible contributions to the organization and to the Government, an award greater than \$10,000 may be warranted. The Directorate of Human Resources will forward such cases to the Adjutant General for disposition.

d. Effective Date: Approved Special Act or Service awards are effective the beginning of the next regular pay period following the date of final approval.

6. On The Spot Cash Award (OTS).

a. General: An On the Spot Cash Award is intended to recognize personal accomplishments that result in high quality service, within or without the technician's organization. This award can be used to recognize day to day accomplishments and a technician's extra work efforts.

b. Eligibility: All technicians of the California National Guard are eligible. An On the Spot Cash Award does not preclude a technician from being considered for any other award.

c. Award Processing: Supervisors may nominate any deserving technician who performs a high quality service. Managers outside the technician's chain of command or organization may also nominate a technician for an award through the technician's supervisor. The nominating supervisor completes a Standard Form 52 and forwards it to the Directorate for Human Resources. The SF-52 must contain justification that warrants an On the Spot Cash Award in Part D, Remarks, or by separate memorandum.

d. Amount of Award: On the Spot Cash Awards range from a \$25 minimum to a maximum of \$500. In each case, the amount paid to the employee is net for W-2 purposes. Withholding for deductions is computed by the Directorate of Human Resources.

e. Effective Date: Approved On the Spot Cash Awards are effective at the beginning of the next regular pay period following processing at HRO.

7. Time-Off Award (TOA).

a. General: A Time-off Award (TOA) is awarded to technicians or group of technicians who perform quality service in an exceptional manner. Receipt of a Time-off Award does not preclude a technician from being considered for any other award.

b. Eligibility: All technicians of the California National Guard are eligible.

c. Award Processing: A supervisor may nominate deserving technician(s) who perform a service or act worthy of nomination. The nominating supervisor completes a Standard Form 52 and forwards it to the Directorate for Human Resources. The SF-52 must contain justification that warrants a Time-off Award in the remarks section, or by separate memorandum. The Directorate for Human Resources will process the TOA upon receipt.

d. Amount of the Award:

(1) The minimum Time-off Award is one day (8 hours). No more than 40 hours may be granted for a single contribution. A technician may receive no more than 80 hours during a leave year.

(2) Hours awarded are not held as regular annual leave on a technician's Leave and Earnings Statements (LES) and must be used within one year of the effective date of the award. By statute, technicians may not "cash in" TOA hours under any circumstance and unused hours will be forfeited without further compensation. Timekeepers must use code LY to draw TOA hours.

e. Effective Date: Approved Time-off Awards are effective at the beginning of the next regular pay period following processing at HRO.

8. Suggestions.

a. A suggestion must meet the following requirements:

- (1) Is submitted in writing before or within 90 days after the date the suggestion is adopted.
- (2) Involves a proposal that is original to the National Guard as a whole.
- (3) Does not substantially duplicate a suggestion already under consideration or a suggestion for which the ownership rights have not expired.
- (4) Is outside the suggester's job responsibilities or, if within, are so superior that it warrants special recognition.

b. Suggestions will be submitted on NGB Form 6, in legible handwriting or typewritten. The suggester must give an outline of the specific area for improvement, state the potential workable solution in detail, and give the benefits that can be expected. More than one solution may exist, but the suggester should cite enough potential benefits to warrant a change. All information available to the suggester (stock number, form title, numbers of parts, type of aircraft, address of Office of Primary Responsibility (OPR) (if known), photographs, sketches, drawings, blueprints, mockups, etc.) must be listed on the NGB Form 6 with originals attached. The suggester must ensure that classified material is properly controlled. If the suggestion pertains to matters under the jurisdiction of the suggester's supervisor, the suggester may give the suggestion to the supervisor for review and discussion and forward to the Directorate for Human Resources. Although optional, this means of submission is widely encouraged for its mutual benefit to the suggester and the supervisor. If the suggester does not elect to use supervisory channels, the suggestion may be forwarded directly to the Directorate for Human Resources.

c. Suggestion Evaluating Procedures.

(1) Each suggestion received in the Directorate for Human Resources will be checked against current award files for duplication. The NGB Form 6 will be assigned a control number and identified as a technician or military suggestion. The Directorate for Human Resources will ensure that each suggestion is signed and that notification of receipt is sent to the suggester. If a suggestion is incomplete or not considered legible, it will be returned to the suggester with an appropriate explanation.

(2) Suggestions that are accepted will be processed as follows:

(a) Suggestions will be sent, with an established suspense date, to the National Guard Bureau Office of Primary Responsibility for investigation, evaluation, and recommendation regarding adoption or non-

adoption. Suggestions will be evaluated on NGB Form 7 (Suggestion Evaluation) with full consideration given to any developments directly attributed to the suggestion. When an evaluation cannot be complete within 45 workdays after receipt of the suggestion, the Directorate for Human Resources will inform the suggester of its status, and furnish subsequent progress reports including reason(s) for any extended evaluations. National Guard Bureau Office of Primary Responsibility will review suggestions for duplication of those currently under consideration or of others received during the previous year.

(b) When a suggestion is determined by the National Guard Bureau Office of Primary Responsibility to require modification or updating of aircraft, systems, or equipment, it must be converted to the appropriate format and processed as a modification request/equipment improvement recommendation and be submitted through appropriate channels. Once the National Guard Bureau Office of Primary Responsibility makes such a determination, that office holds the suggestion in abeyance until that channel of processing is complete. A suggestion may not be processed under the provisions of this regulation until final approval of the modification or updating change is received and documented as to date and method of implementation and benefits to be derived. To facilitate finalization of the suggestion and ensure proper credit for any resulting changes, the modification request/equipment improvement recommendation should state: "This action is the result of Suggestion (identifying symbol and number, date, and name of suggester)". If adopted, the National Guard Bureau Office of Primary Responsibility will provide a completed NGB Form 7 reflecting proper credit of the source of the original idea.

(c) When a suggestion is within the authority of the evaluator to adopt and is considered useful and practical, the NGB Form 7 will state how and when the suggestion could be placed into operation and an estimate of the annual savings and benefits, together with an explanation of the method used in making the determination. The National Guard Bureau Office of Primary Responsibility will evaluate tangible and/or intangible benefits. The National Guard Bureau Office of Primary Responsibility will return the suggestion to the Directorate for Human Resources with recommendation as to the level of adoption. When the suggestion is recommended for implementation, the Directorate for Human Resources will forward the original suggestion to NGB-HR for processing.

(d) When a suggestion is not within the authority of the evaluator to adopt and is considered useful and practical, the National Guard Bureau Office of Primary Responsibility will return the NGB Form 7 to the Directorate for Human Resources.

(e) A suggestion that is not considered useful or practical may be rejected at any level. The Directorate for Human Resources, in coordination with the National Guard Bureau Office of Primary Responsibility, should not forward suggestions to NGB-HR unless they are considered to be fully useful and beneficial improvements. If the evaluator is uncertain of the suggestion's value, the suggestion should be returned to the Directorate for Human Resources for further action. If the suggestion is not recommended for adoption, the National Guard Bureau Office of Primary Responsibility will return the suggestion to the Directorate for Human Resources with an appropriate explanation.

(f) Suggestions received by NGB-HR will be given an NGB number and sent to the appropriate National Guard Bureau Office of Primary Responsibility for evaluation. States will be informed of the status of a suggestion and notified of any extended delays. Once an evaluation is completed, states will be advised of the approval or disapproval of the suggestion along with a copy of the evaluation. Approvals will also provide cash award information, if appropriate.

d. Suggestion Requests for Reconsideration. A suggester may submit a request to the Director for Human Resources for further consideration of a disapproved suggestion, if the suggester provides additional material, information which is designed to clarify significant issues, and findings that an adopted suggestion has a wider application than was originally determined, etc.

e. Authority to Grant Awards for Suggestions. The Chief, National Guard Bureau, is authorized to approve cash awards up to and including \$10,000 (individual or group) for suggestions resulting in tangible/intangible benefits or a combination of both. National Guard Bureau-Human Resources will forward recommendations for cash awards in excess of \$10,000 through the appropriate military service secretary for submission to the Office of Personnel Management for technicians and to the Secretary of the service concerned for active military members of the National Guard. Awards for approved suggestions will be processed on a SF-50 (Notification of Personnel Action) and submitted to the Defense Finance and Accounting Office for payment.

f. Suggestion Award for Tangible Benefits. A cash award for tangible benefits is granted on the basis of actual or estimated savings during the first full year of operation. An adopted suggestion with less than \$250 in benefits will be recognized by a Letter of Appreciation.

g. Suggestion Award for Intangible Benefits. By their very nature, awards in this category are recommended on the basis of judgment rather than precise facts or calculations. Therefore, it is important that suggestions be reviewed in light of their intrinsic merit and all relevant precedents, and that adoption of suggestions and approval of cash awards be fair and as consistent as possible.

h. Ownership Rights of the Suggester. The suggester retains “ownership” of an idea during its evaluation and for one year after the date of the final action (date of approval of an award or written notification of non-adoption).

i. Payment of Suggestion. Upon approval receipt in the Directorate of Human Resources, a SF-50 (Notification of Personnel Action) will be prepared and submitted to the Defense Finance and Accounting Office for payment.

9. Processing Inventions.

a. Inventions are a new and useful process, machine, or other item that may be patentable under the patent laws of the United States. If adopted, inventions submitted as suggestions, or in connection with scientific achievements, are eligible for cash awards. By law, if an invention is published or used publicly, or an article embodying it is sold or is placed on sale more than one year before filing of a patent application in the U.S. Patent and Trademark Office, a U.S. Letters Patent may not be granted. Therefore, to protect the rights of the Government and the inventor, any suggestion or other contribution that appears to be an invention must be promptly sent to NGB-HR for review and processing. National Guard Bureau forwards suggestions, or a scientific achievement that incorporates the invention, to the Patents Division of the Departments of the Army or the Air Force Judge Advocate General.

b. Invention Awards.

(1) The Judge Advocate General’s office will determine whether the contribution is an invention, what the inventor’s rights are, and whether they will process the invention for patenting. After processing, the invention will be returned to NGB-HR with the following considerations:

(a) An award of \$100.00 in addition to any award that might have been paid for the suggestion or scientific achievement to the inventor and, if applicable, to each joint inventor following a determination that the invention was made under circumstances that give the Government at least a license under the invention pursuant to the provisions of Executive Order 10096, and the inventor voluntarily consents to the granting of at least a nonexclusive irrevocable and royalty-free license in the invention to the Government with power to grant licenses for all Governmental purposes.

(b) An award of \$300.00 (to be shared equally when the invention is made by joint inventors) upon the issuance of a patent.

(2) Upon notification from the appropriate Judge Advocate General Office that an invention has been approved for implementation, NGB-HR will notify the Directorate for Human Resources to arrange for payment of a cash award based on benefits to the Government. When an invention award is paid, the inventor must complete the required forms acknowledging the payment of the award. When the inventor accepts an award based upon the approved invention, the acceptance will constitute waiver of any claim against the Government. Cash awards for inventions will be processed on a SF-50 (Notification of Personnel Action).

10. Department of Defense Distinguished Civilian Service Award.

The Secretary of Defense annually presents this award to six civilian employees of the Department of Defense (DOD) whose careers reflect exceptional devotion to duty, and significant contributions of broad scope to the efficiency, economy, or other improvements in the operations of DOD. Nominees should be made from among those technicians who have already received the Department of the Army or the Air Force Decoration for Exceptional Civilian Service. Nominations must be personally endorsed by the State Adjutant General. Details and submission dates will be announced by NGB-HR. This award consists of a gold medal and citation personally signed by the Secretary of Defense. Awards are made in two categories:

- a. For contributions or achievements primarily in the scientific field.
- b. For contributions or achievements in fields other than scientific.

11. Decoration for Exceptional Civilian Service.

a. Eligibility will be determined by measuring contributions against one of the following levels of achievement:

(1) Accomplished assigned duties of major program significance to the Department of the Army or the Air Force in such a manner as to have been clearly exceptional or outstanding among all who have performed like or similar duties.

(2) Developed and improved major methods and procedures, developed significant inventions, or was responsible for exceptional achievements that affected large-scale savings or were of major significance in advancing the missions of the Department of the Army, Air Force, or Defense and the Federal Government.

(3) Exhibited great courage and voluntary risk of life in performing an act resulting in direct benefit to the Government and its personnel.

(4) Provided outstanding leadership to the administration of major Army or Air Force programs in terms of highly successful accomplishments of mission or in major redirection of objectives or accomplishments to meet unique or emergency situations.

b. Nominations for this award will cover a minimum period of one year of service, except nominations for bravery, and must be submitted within 6 months after completion of the period to be cited. Retirement, separation, or long periods of service may not be used as a sufficient basis for this award. With the exception of nominations for bravery, nominations will not normally be considered unless the technician has established a pattern of excellence as demonstrated by receipt of such prior recognition as the Department of the Army or the Air Force Meritorious Civilian Service Award or other equivalent recognition from another Federal agency. Nominations must be personally endorsed by the State Adjutant General.

12. Meritorious Civilian Service Award.

Retirement, separation, or long periods of service will not be used as a sufficient basis for this award. Nominations must contain specific examples of the technician's accomplishment and the benefits derived in sufficient detail to be easily understood. Nominations, along with a proposed citation, will be submitted to the Directorate for Human Resources using a NGB Form 32. Eligibility will be determined by measuring contributions against the level of one of the following achievements:

a. Accomplishing supervisory on non-supervisory duties in an outstanding manner, setting a record of achievement and inspiring others to improve quality and quantity of work.

b. Exercising unusual initiative in devising new and improved work methods and procedures that resulted in a substantial savings in manpower, time, space, materials, or other items of expense, or in improving safety or health of technicians.

c. Achieving outstanding results in improving the morale of workers in an organizational unit with consequent improvement in work performance.

d. Exhibiting unusual courage or competence in an emergency, while performing assigned duties, resulting in direct benefit to the Government or its personnel.

13. The President's Award for Distinguished Federal Civilian Service.

This is the highest award granted under the Federal Incentive Awards Program. This award is granted by the President of the United States and consists of a gold medal and citation. To be eligible, a technician must have already received the Department of the Army or the Air Force Decoration for Exceptional Civilian Service Award and the Department of Defense Distinguished Civilian Service Award. Nominations must be personally endorsed by the State Adjutant General. Details and submission dates will be announced by NGB-HR after receipt of information from the Office of Personnel Management. The achievements upon which a nomination for this award are based should have current impact on improved Government operations or serving the public interest, and exemplify one or more of the following:

a. A display of imagination in developing creative solutions to problems of Government.

b. A display of courage in preserving against great odds and difficulties.

c. High ability in accomplishing extraordinary scientific or technological achievement in providing outstanding leadership in planning, organizing, or directing a major program of unusual importance and complexity, or in performing an extraordinary act or credit to the Government and the country.

d. A long and distinguished career service.

14. Length of Service Recognition.

a. Length-of-Service emblems and certificates will be awarded to all National Guard Technicians as recognition for long and faithful Federal service with the National Guard and other Government agencies.

b. Technicians become eligible for recognition when they complete 10 years of creditable Federal service. Creditable service includes all service used in establishing the technician's service computation date. This award is presented in 5 year increments up to and including 50 years.

c. The Directorate for Human Resources determines technician eligibility; prepares certificates and forwards the emblems and certificates to the Commander/Director.

15. Awards by Non-Federal Organizations.

a. Nominations for one of the following awards will be submitted to NGB-HR for review and processing:

(1) Arthur S. Fleming Award.

(2) William A. Jump Memorial Award.

(3) GEICO Public Service Award.

b. Details and submission data will be announced by NGB-HR.

16. Other Methods of Recognition.

a. Letters of Appreciation. Letters of appreciation or commendation may be granted by supervisors for specific instances of above-standard performance or work achievements by an individual technician or a group of technicians that warrant special recognition but does not meet the criteria for a special type award (i.e., an adopted suggestion that did not meet the eligibility requirement for a cash award).

b. Certificate of Retirement. A Certificate of Retirement (NGB Form 999) is presented when a technician retires from the Federal service. The Directorate of Human Resources will determine eligibility and forward the certificate to directly to recipients upon retirement from Federal service.

17. Maintenance of Incentive Award Records.

All Incentive Award documentation is maintained in the Directorate for Human Resources in the technician's Employee Performance Management File (EPMF).

FOR THE GOVERNOR:

WILLIAM H. WADE II

Major General

The Adjutant General

OFFICIAL:



STUART D. EWING

Captain, CA ANG

Deputy, Human Resources Officer